

U.S. DEPARTMENT OF EDUCATION	PMI <u>430-2</u>
	DATE _____
PERSONNEL MANUAL INSTRUCTION	APPROVED:
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	DIRECTOR, HUMAN
	RESOURCES GROUP

SUBJECT: Education Department Performance Appraisal System  
(EDPAS)

TABLE OF CONTENTS

I. Authority .....	Page 3	
II. Policy .....	Page 3	
III. Applicability .....	Page 3	
IV. Definitions (Appendix A).....	Page 13	
V. Duties of Responsible Parties .....	Page 3	
VI. Description of ED's Performance Appraisal System.....	Page 4	
VII. Elements and Standards.....	Page 4	
VIII. Appraisal Period.....	Page 5	
IX. Planning Performance .....	Page 5	
X. Reviewing Progress .....	Page 7	
XI. Appraising Performance.....	Page 8	
XII. Dispute Resolution.....	Page 8	
XIII. Interim Ratings.....	Page 9	
XIV. Unacceptable and Minimally Acceptable Levels Of Performance.....	Page 10	

XV.	Reduction-in-Force.....	Page 11
XVI.	Training and Evaluation.....	Page 12
XVII.	EDPAS Record Keeping .....	Page 12

**\* To be implemented upon completion of negotiations with the Union.**

APPENDIX

A.	Definitions .....	Page
13		
B.	EDPAS Performance Agreement for Nonsupervisors.....	Page
15		
C.	EDPAS Performance Agreement for Supervisors.....	Page
17		
D.	Scale and Benchmark Descriptions for Assigning Achievement Levels.....	Page
19		
E.	Tables For Use in Rating Standards, Elements, and Arriving at the Summary Rating of Record.....	Page
	24	
F.	Rating of Record/Interim Rating for Nonsupervisors.....	Page
	28	
G.	Rating of Record/Interim Rating for Supervisors.....	Page
30		



I. AUTHORITY

Title 5, United States Code (U.S.C.), Chapter 43, Subchapter I; Title 5, Code of Federal Regulations (CFR), Part 430, Performance Management, Subparts A and B.

II. POLICY

It is the policy of the Department of Education (ED) to have a performance appraisal system that is applied fairly and equitably and promotes a high-performance organization that is customer focused and obtains results.

III. APPLICABILITY

This Instruction covers the performance appraisal of all employees in General Schedule (GS), General Merit (GM) (formerly covered by the Performance Management Recognition System), Administratively Determined (AD), and prevailing rate pay plans. It does not cover senior executives, experts and consultants, or temporary employees serving on appointments of 120 calendar days or less in a consecutive 12-month period.

IV. DEFINITIONS

See Appendix A (page 13)

V. DUTIES OF RESPONSIBLE PARTIES

A. Director, Human Resources Group (HRG)

Advises Secretary, Deputy Secretary, and Assistant Secretaries on all aspects of the Education Department Performance Appraisal System (EDPAS). Monitors compliance with the regulatory requirements regarding the administration of the EDPAS system. Provides advice and guidance to the Principal Offices (POs) on regulatory and policy issues.

B. Supervisor

Works with employees to develop standards for the nonsupervisory elements, provides feedback to employees, and rates their performance. Maintains performance documentation. Notifies employees when their performance reaches the Unacceptable level on

a critical element. Administers opportunity periods for those employees to improve their performance or takes other appropriate action. Determines whether an employee's level of competence is acceptable for a within-grade increase (WIGI); i.e., performance above minimally successful, in compliance with 5 CFR 531.409. In compliance with Section XIII (page 10), works with the employee to improve his/her performance when a WIGI must be denied.

Prepares interim ratings and/or informal input for employees. In compliance with 5 CFR 531.504, documents recommendations for Quality Step Increases (QSIs). In compliance with 5 CFR 451.104(a)(3) documents recommendations for awards based on the employee's most recent rating of record.

C. Employees

Work with their supervisors to develop standards for the critical elements. May provide input on tangible accomplishments on critical elements to supervisor for consideration. Meet with supervisors to discuss performance and training needs.

D. Approving Official

The Approving Official is normally the second level supervisor. The Approving Official reviews and approves performance plans and standards for critical elements, and ensures the accuracy of, and approves, final ratings of record. Responds to grievances with respect to performance appraisal issues. Approves recommendations for QSIs and sustained superior performance awards.

F. Executive Officer

Monitors compliance with ED's performance appraisal policy.

VI. DESCRIPTION OF ED'S PERFORMANCE APPRAISAL SYSTEM

**ED's performance appraisal system (EDPAS) consists of five levels: Outstanding, Highly Successful, Successful, Minimally Successful, and Unacceptable. The system is designed to recognize and acknowledge differing levels of performance and tie highly successful and outstanding performance to incentive awards.**

VII. ELEMENTS AND STANDARDS

There are two elements for nonsupervisory employees: (1) Organizational Priorities; and (2) Customer Service. Supervisors have these same two elements and one additional element of (3) Management and Leadership. Standards must be constructed for the elements of Organizational Priorities and Customer Service. The supervisory element has five required standards that are consistent for all supervisory positions with flexibility to add up to three additional standards. **All elements are critical.** See attachments B and C for blank performance plans.

VIII. APPRAISAL PERIOD

- A. The appraisal period for all employees covered by EDPAS is May 1 to April 30. The actual preparation of the annual performance appraisals will be sufficiently staggered so that supervisors can initially focus on preparing employee ratings and subsequently be appraised for the next appraisal period on how they carry out their performance appraisal responsibilities. The Director, HRG, may approve alternative annual appraisal periods for special employment situations.
- B. An individual must serve for a minimum of 120 calendar days in his/her current position under an EDPAS plan in order to receive an appraisal. When the minimum 120 day appraisal period cannot be served in the employee's current position before the end of ED's established appraisal period, the period will be extended until the 120 days are met. The employee's performance will be appraised at that time and any interim ratings will be considered. The employee will then receive a Rating of Record.

Immediately upon completion of an extended appraisal cycle, a new performance plan will be required to cover the period from that date until the end of the current appraisal period.

- C. Any employee who is under an existing Performance Improvement Plan as of the effective date of this PMI, and who has not completed the specified period under such plan, will continue under the Pass/Fail system until his/her performance has been appraised. Upon the expiration of the specified period under the performance improvement plan and the occurrence of an appraisal, the employee shall be subject to the five-level system set forth in this PMI.

IX. PLANNING PERFORMANCE

A. Standards

Within 30 calendar days after the beginning of the appraisal period, or after entry into a new EDPAS position, the supervisor and employee will develop between 3-8 performance standards for the elements of



Organizational Priorities and Customer Service using  
the following criteria:

## 1. Organizational Priorities (Critical)

### **Guidance for Developing Organizational Priorities Standards**

This element is intended to measure each employee's contribution to our success in meeting agency goals and objectives. The job specific standards developed under this element should be results driven (**what** will be accomplished) and should reflect each employee's accountability for achieving measurable results. To the maximum extent possible, those results should be linked to applicable Strategic Plan responsibilities, specific Government Performance and Results Act (GPRA) indicators, the Blueprint for Management Excellence, and other organizational goals and objectives that are aligned with the President's Management Agenda and ED's mission and vision. Supervisors and employees should identify a minimum of three (3) and a maximum of eight (8) job specific standards.

## 2. Customer Service (Critical)

### **Guidance for Developing Customer Service Standards**

To be recognized as successful, the Department must satisfy the needs of its customers. In most cases our primary customer is the student, but the Department's customers also include state and local agencies, schools, parents, lending institutions, taxpayers, Congress and other employees within the Department. This element is intended to address **how** each employee performs their responsibilities related to delivering products/services to their internal and/or external customers. Performance standards for this element could, for example, address teamwork and cooperation, communication, adaptability/flexibility, initiative, and working around barriers. Supervisors and employees should identify a minimum of three (3) and a maximum of eight (8) job specific standards for this element.

Supervisors will have a third Management and Leadership element with five required standards and the option to develop three additional standards.

3. Management and Leadership (Critical)

**Guidance for Developing Additional Management and Leadership Standards**

Management and leadership play a critical part in accomplishing the Department's goals and mission. The five standards listed below are **required** for every manager.

- a. Demonstrates leadership by communicating organizational direction; setting clear values and high performance expectations; and encouraging employee development through, for example, mentoring and coaching, and individual development plans.
- b. Aligns and manages work processes, available resources, and technology to meet organizational goals and priorities and provides honest and timely employee performance evaluations.
- c. Communicates regularly and openly discusses with employees within the work unit work assignments and new or changed assignments.
- d. Makes assignments in a fair manner consistent with employees' grade levels and solicits employee interest/input; performance expectations are clear and feedback is provided regularly relative to performance.
- e. Recruits, develops and retains high performing employees; deals promptly and appropriately with performance and conduct problems.

Up to three additional standards may be added to the required standards for a total of eight.

The completed EDPAS Employee Performance Plan will be signed by the supervisor and employee and approved by the approving official within this 30-day timeframe; and copies will be provided to the supervisor and employee.

The standards for the Organizational Priorities and Customer Service elements, as well as any

constructed standards for the supervisory element, may be changed during the rating period but must be in effect for 120 calendar days in order for an employee to be rated against them.

X. REVIEWING PROGRESS

At least one formal, documented, progress review must be held with the employee by the supervisor. This progress review will cover at least 120 calendar days and be held at the mid-point of the appraisal period. During the progress review, the supervisor will fully discuss the employee's performance to date in conjunction with the standards and elements in his/her performance agreement and any development activities that will help improve the employee's performance.

Employees who have not been in an EDPAS position for 120 calendar days prior to the mid-point of the normal appraisal period, will be given a progress review at the mid-point of their individual appraisal cycle.

Additional progress reviews may be initiated at any time by the supervisor or the employee to discuss performance, provide feedback, and/or add or delete standards to be evaluated. The supervisor must initiate such a meeting if the employee's performance appears to be falling below the Successful level on any critical element.

XI. APPRAISING PERFORMANCE

A. Mid-Point of Appraisal Period

Supervisor conducts the mid-point progress review and discusses any developmental activities that would help improve the employee's performance.

B. End of Appraisal Period

- (1) Employee provides supervisor with list of tangible accomplishments for each critical element.
- (2) Supervisor considers input by the employee, rates employee's performance on elements, assigns the summary rating of record and

provides narrative justification for each critical element rating. See Appendix D and E for detailed instructions on rating the performance standards and arriving at element ratings and the overall summary rating of record.

- (3) Approving official reviews and approves summary Rating of Record.
- (4) Supervisor provides the summary Rating of Record to the employee and discusses the basis for the rating and developmental needs with the employee.

## XII. DISPUTE RESOLUTION

- A. Bargaining unit employees must use either the Department's Informal Dispute Resolution Center (IDRC) process or the Problem Resolution Procedure in Article 42 of the Department's Collective Bargaining Agreement to initiate dispute resolution over performance rating issues; e.g., issues regarding performance standards, ratings of standards or elements, the Rating of Record, tangible accomplishments used to support the

ratings, interim ratings, etc. Employees may contact the IDRC or consult the Collective Bargaining Agreement for further information, including time frames with which issues must be raised.

- B. Non-bargaining unit employees may use the grievance procedures in **Personnel Manual Instruction (PMI) 771-1 to resolve disputes regarding the appraisal process**; e.g., issues regarding performance standards, ratings of standards or elements, the Rating of Record, tangible accomplishments used to support the ratings, interim ratings, etc. A grievance must be initiated within 15 calendar days of the date the incident occurred; e.g., issuance of performance plan, Rating of Record, or Interim Rating.

If a non-bargaining unit employee is requesting **reconsideration** of a Rating of Record or a rating

on any standard or element to the supervisor, a **written request to the approving official must be made within 5 work days of the receipt of the Rating of Record or Interim Rating, with a copy to the supervisor.** The approving official should respond in writing within 10 workdays after receipt of the employee's request. If the employee does request reconsideration, the 15 calendar days provided to initiate a grievance is calculated from the date of receipt of the approving official's written response, or at the expiration of 10 work days after it was submitted, whichever is earlier. If the employee does not request reconsideration, the 15 calendar days provided to initiate a grievance under PMI 771-1 is calculated from the date the employee receives the Rating of Record.

### XIII. INTERIM RATINGS

#### A. Position Changes

ED supervisors must provide interim ratings when: (1) the supervisor departs his/her position; or (2) the employee changes positions and has been in an EDPAS position for at least 120 calendar days.

#### B. Details/Temporary Promotions

When an employee is expected to be on a detail or temporary promotion for at least 120 calendar days, the supervisor managing the detail or promotion will work with the employee to develop a performance plan, implement the performance plan within 30 calendar days, and provide an interim rating to the employee's supervisor at the completion of the detail, promotion, or at the end of the rating period. The worksheets in Appendix H or I should be used to document the employee's performance plan and interim rating while on detail or temporary promotion. Comments may be attached to the worksheet. For details or temporary promotions less than 120 calendar days, the ED supervisor managing the detail or promotion will provide a written summary of the employee's accomplishments to the employee's supervisor of record.

ED supervisors will obtain interim ratings from the previous supervisors of employees who have been in one or more EDPAS positions for at least 120

calendar days. ED supervisors will also obtain written summaries for employees who are detailed or temporarily promoted for less than 120 calendar days. When an ED supervisor vacates his/her position, s/he will provide interim ratings to the approving official for all employees on his/her staff who have been in EDPAS positions for at least 120 days.

Interim ratings will be provided to the employee when they are received by the supervisor. The interim ratings and written summaries must be taken into account for the next applicable rating of record.

#### XIV. UNACCEPTABLE AND MINIMALLY SUCCESSFUL LEVELS OF PERFORMANCE

At any time during the performance appraisal period, if the supervisor determines that an employee's level of performance on a critical element falls to the Unacceptable level, he/she shall initiate immediate assistance geared toward raising the employee's level of performance back to the Minimally Successful level. Such assistance may include but is not limited to formal training, on-the-job training, counseling, and/or closer supervision. The supervisor will meet with the employee to discuss ways to improve his/her performance.

Specific steps that must be taken include:

- (1) Except for Schedule C or probationary employees, who may be terminated at any time, or other employees excluded from coverage by 5 CFR 430.202, an employee rated Unacceptable on his/her Rating of Record, or whose performance falls to the Unacceptable level on a critical element during the performance appraisal period, must be given a reasonable opportunity to demonstrate Minimally Successful performance on the critical element(s) rated Unacceptable. In order to be rated at the Unacceptable level, the employee must have worked in his/her current position, with a performance agreement in place, for at least 120 calendar days.

The employee will be informed in writing of: the critical element(s) for which performance has been rated at the Unacceptable level on the Rating of Record or has fallen to the Unacceptable level during the appraisal period; the specific performance deficiencies; the level of performance that must be attained in order to reach the Minimally Successful level; assistance to be provided during the opportunity period; and the consequences of Unacceptable performance. Unless the employee's performance improves to, and is sustained at the Minimally Successful level for 1 year, he/she may be reassigned, reduced in grade, or removed in accordance with PMI 432-1, Reduction in Grade or Removal Based on Unacceptable Performance.

- (2) The employee shall be given one progress review by the supervisor each quarter until performance reaches the Minimally Successful level or until an opportunity period to demonstrate Minimally Successful performance is initiated.
- (3) Non-bargaining unit employees and supervisors may receive procedural information on this process from the Employee Relations Team or appropriate regional HRG staff. Bargaining unit employees may receive advice and assistance from their local Union representative or the IDRC staff.

When an employee's level of competence determination is Minimally Successful and a WIGI is withheld or an employee receives a summary Rating of Record of Minimally Successful, the supervisor shall take steps geared towards raising the employee's level of performance to the Successful level. Such assistance may include but is not limited to formal training, on-the-job training, counseling, and/or closer supervision.

#### XV. REDUCTION IN FORCE (RIF)

For RIF purposes, ratings considered to be Ratings of Record are the ratings given at the end of the established annual appraisal periods, or the ratings following opportunity periods to demonstrate acceptable (Successful) performance as provided in 5 U.S.C. 4302 (b)(6).

To provide adequate time to properly determine an



employee's retention standing prior to a RIF, a general or specific RIF notice will specify the date after which no new rating of record will be given that could be used to determine retention standing.

XVI. TRAINING AND EVALUATION

A. Orientation and Training

Orientation on the performance appraisal system will be provided to employees entering EDPAS. Copies of the Department's EDPAS PMI will be made available to employees. Training will be provided to all EDPAS employees and their supervisors on a periodic basis.

B. Program Evaluation

EDPAS is subject to periodic evaluations for fairness, consistency, and effectiveness of the system.

XVII. EDPAS RECORDKEEPING

- A. Ratings of Record and the performance plans on which they are based will be retained in the employee's Employee Performance File (EPF), as designated by ED, for 4 years.
- B. When the OPF of a EDPAS employee is sent to another agency or to the National Personnel Records Center, the Servicing Personnel Office shall include in the OPF all performance Ratings of Record that are 4 years old or less and the plans on which they are based.

## APPENDIX A

### DEFINITIONS

**Appraisal** - The act of reviewing, evaluating, and rating the performance of an employee against described performance standards.

**Approving Official** - The second level supervisor or Senior Officer who approves the performance plan and rating of record.

**Critical Element** - A component of a position consisting of one or more duties and responsibilities which are of such importance that unacceptable performance on the element would result in an overall performance level of Unacceptable.

**Education Department Performance Appraisal System (EDPAS)** - ED's performance appraisal program which provides for the establishment of standards and critical elements; communication of elements and standards to employees; evaluation of employees' performance; and appropriate use of appraisal information in making personnel decisions.

**Employee Performance Plan** - The standards and critical elements that set forth expected performance.

**Highly Successful** - A summary level of Highly Successful equates to Level 4 as specified in 5 CFR 430.208 (d)(2)(i).

**Interim Rating** - A written advisory assessment of an employee's performance in comparison with his/her performance plan and the assignment of a summary rating level by the supervisor. Interim ratings cover an employee's service while on a detail or temporary promotion and do not require approval by the approving official. Interim ratings are considered by the Supervisor when developing the final Rating of Record.

**Minimally Successful** - A summary level of Minimally Successful equates to Level 2 as specified in 5 CFR 430.208 (d)(2)(i).

**Outstanding** - A summary level of Outstanding equates to Level 5, "Outstanding", as specified in 5 CFR 430.208 (d)(2)(iv).

**Performance Plan** - The aggregation of all of an employee's critical elements and performance standards.

**Performance Standard** - A management-approved expression of performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of

performance. When this expression of performance is used in conjunction with the rating scale and benchmark definitions, it constitutes a standard. A performance standard may include, but is not limited to, quality, quantity, timeliness, and manner of performance.

**Rating of Record** - The performance rating prepared at the end of an appraisal period for performance over the entire period, including the assignment of a summary rating.

**Supervisor** - An ED employee who evaluates work, rates performance, and is assigned one or more of the following duties:  
(1) assigning work; (2) reviewing work; or (3) recommending promotions, awards, or disciplinary action.

**Successful** - A summary level of Successful equates to Level 3, "Fully Successful", as specified in 5 CFR 430.208(d)(2)(iii).

**Summary Rating** - The written record of the appraisal of each critical element and the assignment of a summary rating for the aggregate of critical elements.

**Senior Officer** - Any official who is the head of an office or PO of ED, who reports directly to the Secretary or Deputy Secretary; e.g., Assistant Secretary or equivalent office head. Senior Officers may serve as both supervisor and approving officials for EDPAS employees.

**Unacceptable** - A summary level of Unacceptable equates to Level 1, "Unacceptable", as specified in 5 CFR 430.208(d)(2)(ii).



## Appendix B

EDPAS Employee Performance Plan	
Employee:	Title:
Pay Plan/Series/Grade:	Rating Period:
Organization:	Dates:

The following scale will be used to evaluate/rate employee's performance against each standard.

Unacceptable 1	Minimally Successful 2	Successful 3	Highly Successful 4	Outstanding 5
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Achievement level descriptions for assigning scores on the scale are contained in Appendix D of PMI 430-2.

### I. Organizational Priorities (Critical)

#### **Guidance for Developing Organizational Priorities Standards**

This element is intended to measure each employee's contribution to our success in meeting agency goals and objectives. The job specific standards developed under this element should be results driven (**what** will be accomplished) and should reflect each employee's accountability for achieving measurable results.

Those results should be linked to applicable Strategic Plan responsibilities, specific Government Performance and Results Act (GPRA) indicators, the Blueprint for Management Excellence and other organizational goals and objectives that are aligned with the President's Management Agenda and ED's mission and vision. Supervisors and employees should identify a minimum of three (3) and a maximum of eight (8) job specific standards.

#### Performance Standards

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.

### II. Customer Service (Critical)

#### **Guidance for Developing Customer Service Standards**

To be recognized as successful, the Department must satisfy the needs of its customers. In most cases our primary customer is the student, but the Department's customers also include state and local agencies, schools, parents, lending institutions, taxpayers, Congress and other employees within the Department.

This element is intended to address **how** each employee performs their responsibilities related to delivering products/services to their internal and/or external customer. Performance standards for this element could, for example, address teamwork and cooperation, communication, adaptability/flexibility, initiative, and working around barriers. Supervisors and employees should identify a minimum of three (3) and a maximum of eight (8) job specific standards for this element.

Page 2 - EDPAS Employees' Performance Plan

Performance Standards

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.

		Progress Review	
Employee Signature	Date	Employee's Initials	Date
Supervisor's Signature	Date	Supervisor's Initials	Date
Approving Official Signature	Date		

## Appendix C

EDPAS Supervisor Performance Plan	
Employee:	Title:
Pay Plan/Series/Grade:	Rating Period:
Organization:	Dates:

The following scale will be used to evaluate/rate employee's performance against each standard.

Unacceptable 1	Minimally Successful 2	Successful 3	Highly Successful 4	Outstanding 5
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Achievement level descriptions for assigning scores on the scale are contained in Appendix D of PMI 430-2.

### I. Organizational Priorities (Critical)

#### **Guidance for Developing Organizational Priorities Standards**

This element is intended to measure each employee's contribution to our success in meeting agency goals and objectives. The job specific standards developed under this element should be results driven (**what** will be accomplished) and should reflect each employee's accountability for achieving measurable results. Those results should be linked to applicable Strategic Plan responsibilities, specific Government Performance and Results Act (GPRA) indicators, the Blueprint for Management Excellence, and other organizational goals and objectives that are aligned with the President's Management Agenda and ED's mission and vision. Supervisors and employees should identify a minimum of three (3) and a maximum of eight (8) job specific standards.

#### Performance Standards

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.

### II. Customer Service (Critical)

#### **Guidance for Developing Customer Service Standards**

To be recognized as successful, the Department must satisfy the needs of its customers. In most cases our primary customer is the student, but the Department's customers also include state and local agencies, schools, parents, lending institutions, taxpayers, Congress and other employees within the Department. This element is intended to address **how** each employee performs their responsibilities related to delivering products/services to their internal and/or external customer.

Performance standards for this element could, for example, address teamwork and cooperation, communication, adaptability/flexibility, initiative, and working around barriers. Supervisors and employees should identify a minimum of three (3) and a maximum of eight (8) job specific standards for this element.



Performance Standards

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.

III. Management and Leadership (Critical)

**Guidance for Developing Additional Management and Leadership standards**

Management and leadership play a critical part in accomplishing the Department's goals and mission. **The five standards listed below are required for every manager.** Up to three additional standards may be added for a total of eight.

Performance Standards

1. Demonstrates leadership by communicating organizational direction; setting clear values and high performance expectations; and encouraging employee development through, for example, mentoring and coaching, and individual development plans.
2. Aligns and manages work processes, available resources, and technology to meet organizational goals and priorities, and provides honest and timely employee performance evaluations.
3. Communicates regularly and openly discusses with employees within the work unit about work assignments and new or changed assignments.
4. Makes assignments in a fair manner consistent with employees' grade levels and solicits employee interest/input; performance expectations are clear and feedback is provided regularly relative to performance.
5. Recruits, develops and retains high performing employees; deals promptly and appropriately with performance and conduct problems.
- 6.
- 7.
- 8.

		Progress Review	
Employee Signature	Date	Employee's Initials	Date
Supervisor's Signature	Date	Supervisor's Initials	Date
Approving Official Signature	Date		

## Appendix D

### Scale and Achievement Level Descriptions Used to Interpret and Score the Standards and Elements

Unacceptable	Minimally Successful	Fully Successful	Highly Successful	Outstanding
1	2	3	4	5

#### **Achievement Level 5 - Outstanding.**

The employee's performance meets, and exceeds, the criteria for Level 4 in the following key areas: sound judgment must be used on a regular and recurring basis to resolve problems with work assignments when there are no established guidelines to cover the issue; advice and/or leadership provided by the employee addresses novel, unique, and/or "crisis" situations and almost always facilitates work progress or service; the employee frequently generates innovative changes to work products or processes which improve quality, quantity and/or the capability to provide the product or service in a more timely or effective fashion; and the employee leads efforts to effectively work together with individuals inside and outside his/her organization to resolve long standing and/or highly complex work-related problems. In addition, as a supervisor, the employee not only carries out assigned supervisory responsibilities; e.g., assigns work, reviews work, approves leave, schedules training, supports EEO, labor-management consultations, and merit system principles, etc., in compliance with established ED policies but also continually focuses on ensuring that staff members are empowered to do their work, held accountable for their performance, that complex performance or conduct issues are addressed and resolved, and that the supervisor's focus on accountability results in improved products or services.

Examples include:

- Employee is an extremely high quality/high volume producer;
- Employee's work products are used as work models or employee is asked to train/mentor new employees in area of expertise;
- Employee interprets new regulatory or policy changes and recommends or implements revisions to work processes which incorporate the changes and improve service;
- Employee consistently arrives at effective resolutions for

the most difficult problems;

- Employee anticipates issues and conceptualizes and executes strategies to meet and resolve those issues;
- Supervisor anticipates changes in program operations and takes steps to ensure that staff members are informed on the potential impact of the changes, processes are studied and revised to accommodate the changes, and necessary training is planned and presented in advance;
- Supervisor effectively ties performance measures to strategic objectives and these measures are used as models for other supervisors to follow.
- Supervisor continually monitors performance and rewards tangible accomplishments with incentive awards throughout the appraisal period.
- Supervisor continually provides staff members with constructive feedback that improves the productivity and effectiveness of employees.

#### **Achievement Level 4 - Highly Successful.**

The employee's performance meets, and exceeds, the criteria for Level 3 in the following key areas: sound judgment is usually used to resolve problems with work assignments when the established guidelines fail to fully cover the issue; the employee quickly adapts to changing situations and frequently provides advice and/or leadership to effectively deal with minor changes in program requirements or work operations; and the employee uses good judgment when working with individuals to explain and resolve controversial issues and defuse difficult situations. In addition, as a supervisor, the employee not only carries out assigned supervisory responsibilities; e.g., assigns work, reviews work, approves leave, schedules training, supports EEO, labor-management consultations, and merit system principles, etc., in compliance with established ED policies but also takes the initiative to identify and resolve issues that prevent effective operations or efficiency.

Examples include:

- Employee researches and resolves work problems which are not fully covered by established guidelines;
- Work output exceeds a successful level based on the employee's assignments and is often completed prior to established deadlines;
- Employee quickly and effectively moves from assignment to assignment as priorities change;
- Employee effectively works with individuals when they are not receptive to the information and advice they are

being given;

- Work products are thoroughly developed, policy implications and action items are fully identified and analyzed; and documents are persuasively written;
- Supervisor typically acts to resolve complicated conduct and/or performance problems;
- Supervisor effectively resolves conflicts and concerns among subordinate employees by managing changing priorities and ensuring that the workload is balanced;
- With minimal input from the second level supervisor, supervisor develops performance standards that are tied to strategic objectives.
- Supervisor frequently monitors performance and occasionally rewards tangible accomplishments with incentive awards during the appraisal period.
- Supervisor plans in advance to integrate the leave and training needs of the staff with program priorities and initiatives.

### **Achievement Level 3 - Successful**

The employee usually completes assigned tasks in a timely manner in accordance with established procedures. The work seldom requires substantive corrections to ensure completion and effective customer service. Advice and/or leadership provided by the employee satisfactorily deals with technical and service issues that are covered by established procedures.

The employee typically uses good judgment when working with individuals to resolve questions about work assignments. In addition, as a supervisor, the employee consistently carries out assigned supervisory responsibilities; e.g., assigns work, reviews work, approves leave, schedules training, supports EEO, labor-management partnerships, merit system principles, etc., in compliance with ED policy.

Examples include:

- Work is typically completed with few substantive errors;
- Work products are typically consistent with established procedures;
- Employee analyzes basic facts and typically arrives at sound conclusions;
- Work output is successful and typically meets established deadlines;
- Employee's advice or direction typically resolves problems covered by established procedures;
- Supervisor typically assigns and reviews work in a timely fashion;
- Supervisor typically resolves uncomplicated conduct and

performance problems and promptly seeks advice to resolve complex problems;

- Supervisor develops performance measures that are tied to strategic objectives based on second level supervisor's guidance.
- Supervisor monitors performance on critical projects and rewards tangible accomplishments with incentive awards at the end of the appraisal cycle.
- Supervisor effectively promotes cooperation among staff members by keeping them apprised of changing priorities and attempting to keep the workload balanced;
- Supervisor typically makes decisions on requests for leave and training in a timely fashion.

### **Achievement Level 2 - Minimally Successful.**

The employee usually completes assigned tasks but they are frequently late and occasionally not in accordance with established policies. The supervisor frequently has to correct substantive portions of the employee's work products or have it redone by the employee to ensure it is complete and of acceptable quality. The supervisor must carefully check technical information and input the employee provides and this frequently slows work progress. The employee frequently uses poor judgment when working with individuals to resolve questions or problems regarding work assignments to the extent that the supervisor has to intervene to resolve the issue. As a supervisor, the employee frequently fails to fully carry out assigned supervisory responsibilities; e.g., assigning work, reviewing work, approving leave, scheduling training, supporting Equal Employment Opportunity (EEO), labor-management consultations, merit system principles, etc., in compliance with ED policies.

Samples include:

- Work products are typically of low quality and not fully in compliance with established policies;
- Work assignments are frequently late and essential deadlines are occasionally missed;
- Work output is moderately low and requires careful monitoring;
- The employee's technical information and advice must be carefully reviewed to ensure that it is accurate and this frequently slows work progress;
- Supervisor frequently fails to follow up to effectively resolve uncomplicated conduct or performance problems;
- Supervisor frequently does not assign work in a timely fashion and this leads to production or service delays;

- Supervisor requires detailed instructions from second level supervisor in order to develop performance measures for staff;
- Supervisor must be closely monitored to ensure performance appraisal requirements are carried out.

**Achievement Level 1 - Unacceptable.**

The employee frequently fails to complete assigned tasks in a timely manner in accordance with established procedures. The work is of such poor quality that it consistently requires extensive corrections or the reassignment of other individuals to ensure completion and effective service. Technical information, advice and/or leadership provided by the employee are frequently wrong or misdirected and frequently impede work progress, result in unacceptable work products, or negatively affect service. The employee frequently uses poor judgment when working with individuals to resolve questions about work assignments and this typically results in work products that must be substantially revised and/or poor service. As a supervisor, the employee consistently fails to carry out assigned supervisory responsibilities; e.g., assigning work, reviewing work, approving leave, scheduling training, supporting Equal Employment Opportunity (EEO), labor-management partnerships, merit system principles, etc., in compliance with ED policies.

Samples include:

- Work products are typically incomplete and/or frequently contain substantive errors;
- Work production typically fails to meet essential, well established, deadlines;
- Work output is extremely low and requires continual monitoring;
- Employee frequently fails to analyze basic facts and arrive at sound conclusions;
- Employee's advice or direction to staff members frequently causes significant errors which have a negative impact on customer service or result in unacceptable work products;
- Supervisor frequently fails to follow up to effectively resolve uncomplicated conduct or performance problems;
- Supervisor frequently fails to assign work in a timely fashion;
- Supervisor frequently fails to carry out performance rating responsibilities;
- Supervisor frequently fails to review work in a timely fashion; and
- Supervisor frequently fails to encourage teamwork and cooperation among subordinate employees to accomplish work objectives.

## Appendix E

### Rating Standards, and Elements, and Arriving at the Summary Rating of Record

There are two steps in arriving at the final rating:

- (1) Rating the standards in each element and arriving at an overall rating for each element; and
- (2) Summarizing the ratings for the elements and arriving at the final Rating of Record.

The following scoring tables are used to:

- (1) Rate the standards;
- (2) Arrive at an element rating; and
- (3) Arrive at a summary Rating of Record.

#### Scoring Scale for Standards

5 points for Outstanding(O);  
4 points for Highly Successful(HS);  
3 points for Successful(S);  
2 points for Minimally Successful(MS);  
and  
1 point for Unacceptable(U).

Supervisors should use the above scale in conjunction with the achievement level descriptions to score each standard within each element.

#### Critical Element I - Organizational Priorities

Standard 1	-	—	=	—	points
Standard 2	-	—	=	—	points
Standard 3	-	—	=	—	points
Standard 4	-	—	=	—	points
Standard 5	-	—	=	—	points
Standard 6	-	—	=	—	points
Standard 7	-	—	=	—	points
Standard 8	-	—	=	—	points
Total			=	—	points
Total Points					—
÷ Number of Standards					—
= Element Score					—





### Critical Element II - Customer Service

Standard 1 - \_ = \_ points  
 Standard 2 - \_ = \_ points  
 Standard 3 - \_ = \_ points  
 Standard 4 - \_ = \_ points  
 Standard 5 - \_ = \_ points  
 Standard 6 - \_ = \_ points  
 Standard 7 - \_ = \_ points  
 Standard 8 - \_ = \_ points

Total = \_ points

Total Points \_\_\_\_\_  
 ÷ Number of Standards \_\_\_\_\_  
 = Element Score \_\_\_\_\_

### Critical Element III - Management and Leadership

Standard 1 - \_ = \_ points  
 Standard 2 - \_ = \_ points  
 Standard 3 - \_ = \_ points  
 Standard 4 - \_ = \_ points  
 Standard 5 - \_ = \_ points  
 Standard 6 - \_ = \_ points  
 Standard 7 - \_ = \_ points  
 Standard 8 - \_ = \_ points

Total = \_ points

Total Points \_\_\_\_\_  
 ÷ Number of Standards \_\_\_\_\_  
 = Element Score \_\_\_\_\_

### Conversion Table for Element Ratings

Outstanding (O) = 4.75 or above
Highly Successful(HS) = 4.0 but less than 4.75
Successful(S) = 3.00 but less than 4.00
Minimally Successful(MS)= 2.0 but less than 3.00
Unacceptable(U) = Below 2.0

Critical Element I Score = \_ = \_ Element Rating  
 Critical Element II Score = \_ = \_ Element Rating  
 Critical Element III Score = \_ = \_ Element Rating

If the element rating for any critical element falls within the **Unacceptable** range, the **overall Rating of Record is Unacceptable.**

If the element rating for any critical element falls within the **Minimally Successful** range, the **overall Rating of Record is Minimally Successful.**

Use the conversion table below to arrive at the summary rating of record or interim rating.

#### **RATING OF RECORD/INTERIM RATING CONVERSION TABLE**

**Critical Element Ratings:**

I = \_\_\_\_\_  
II = \_\_\_\_\_  
III = \_\_\_\_\_

**Outstanding**

**Nonsupervisors and Supervisors**

All critical elements must be rated outstanding.

**Highly Successful**

**Nonsupervisors**

All critical elements are rated at, or above, Highly Successful.

**OR**

One critical element is rated at Outstanding and One Critical element is rated Successful.

**AND**

No critical element is rated Minimally Successful.

**Supervisors**

All critical elements are rated at, or above, Highly Successful.

**OR**

One critical element is rated at Outstanding, One Critical Element is rated Highly Successful, and One Critical Element is rated Successful.

**AND**

No critical element is rated Minimally Successful.

**Successful**

**Nonsupervisors and Supervisors**

One or more critical elements are rated as Successful and no critical element is rated above Highly Successful.

**AND**

No critical element is rated Minimally Successful.

RATING OF RECORD CONVERSION TABLE (Continued)

Minimally Successful

Nonsupervisors and Supervisors

Any critical elements is rated Minimally Successful.

Unacceptable

Nonsupervisors and Supervisors

Any critical element is rated Unacceptable.

[    ] Summary Rating of Record = \_\_\_\_\_

[    ] Interim Rating                      = \_\_\_\_\_

## Appendix F

<b>EDPAS Rating for Nonsupervisors</b>	
Employee:	Title:
Pay Plan/Series/Grade:	Rating Period:
Organization:	Dates:

Check One:

[ ] **Rating of Record** - The performance rating prepared at the end of an appraisal period for performance over the entire period, including the assignment of a summary rating.

[ ] **Interim Rating** - An interim rating provide feedback to the employee's supervisor on the employee's accomplishments during a temporary assignment of, or in excess of, 120 days. It should be considered by the supervisor when s/he develops the rating of record.

Achievement level descriptions for assigning scores for the performance standards are contained in Appendix D of PMI 430-2. The worksheet for arriving at element ratings and the summary Rating of Record is in Appendix E of PMI 430-2. Standard and Element ratings will be assigned using the following scale.

<b>Unacceptable</b>	<b>Minimally Successful</b>	<b>Successful</b>	<b>Highly Successful</b>	<b>Outstanding</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>

I. Organizational Priorities (Critical)      -      Element Rating: \_\_\_\_\_

Standard Ratings:

- \_\_\_\_\_ 1.
- \_\_\_\_\_ 2.
- \_\_\_\_\_ 3.
- \_\_\_\_\_ 4.
- \_\_\_\_\_ 5.
- \_\_\_\_\_ 6.
- \_\_\_\_\_ 7.
- \_\_\_\_\_ 8.

Justification: (Discuss Tangible Accomplishments that support ratings for the standards and elements - continuation sheets may be attached)

II. Customer Service - Element Rating: \_\_\_\_\_

Standard Ratings:

- \_\_\_\_ 1.
- \_\_\_\_ 2.
- \_\_\_\_ 3.
- \_\_\_\_ 4.
- \_\_\_\_ 5.
- \_\_\_\_ 6.
- \_\_\_\_ 7.
- \_\_\_\_ 8.

Justification: (Discuss Tangible Accomplishments that support ratings for the standards and elements - continuation sheets may be attached)

[ ] Rating of Record:

[ ] Interim Rating:

\_\_\_\_\_

Supervisor's Signature		Date	
Approving Official's Signature		Date	
Employee's Signature		Date	
Employee wishes to respond	Yes	No	

Employee response may be attached to rating of record or interim rating.

## Appendix G

<b>EDPAS Rating for Supervisors</b>	
Employee:	Title:
Pay Plan/Series/Grade:	Rating Period:
Organization:	Dates:

[ ] **Rating of Record** - The performance rating prepared at the end of an appraisal period for performance over the entire period, including the assignment of a summary rating.

[ ] **Interim Rating** - An interim rating provide feedback to the employee's supervisor on the employee's accomplishments during a temporary assignment of, or in excess of, 120 days. It should be considered by the supervisor when s/he develops the rating of record.

Achievement level descriptions for assigning scores for the performance standards are contained in Appendix D of PMI 430-2. The worksheet for arriving at element ratings and the summary Rating of Record is in Appendix E of PMI 430-2. Standard and Element ratings will be assigned using the following scale.

<b>Unacceptable</b>	<b>Minimally Successful</b>	<b>Successful</b>	<b>Highly Successful</b>	<b>Outstanding</b>
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>

I. Organizational Priorities (Critical)

- Element Rating: \_\_\_\_\_

Standard Ratings:

- \_\_\_\_ 1.
- \_\_\_\_ 2.
- \_\_\_\_ 3.
- \_\_\_\_ 4.
- \_\_\_\_ 5.
- \_\_\_\_ 6.
- \_\_\_\_ 7.
- \_\_\_\_ 8.

Justification: (Discuss Tangible Accomplishments that support ratings for the standards and elements - continuation sheets may be attached)



II. Customer Service

- Element Rating: \_\_\_\_\_

Standard Ratings:

- \_\_\_\_ 1.
- \_\_\_\_ 2.
- \_\_\_\_ 3.
- \_\_\_\_ 4.
- \_\_\_\_ 5.
- \_\_\_\_ 6.
- \_\_\_\_ 7.
- \_\_\_\_ 8.

Justification: (Discuss Tangible Accomplishments that support ratings for the standards and elements - continuation sheets may be attached)

III. Management and Leadership (Critical) -

Element Rating: \_\_\_\_\_

Standard Ratings:

- \_\_\_\_ 1. Demonstrates leadership by communicating organizational direction; setting clear values and high performance expectations; and encouraging employee development through, for example, mentoring and coaching, and individual development plans.
- \_\_\_\_ 2. Aligns and manages work processes, available resources, and technology to meet organizational goals and priorities, and provides honest and timely employee performance evaluations.
- \_\_\_\_ 3. Communicates regularly and openly discusses with employees within the work unit about work assignments and new or changed assignments.
- \_\_\_\_ 4. Makes assignments in a fair manner consistent with employees' grade levels and solicits employee interest/input; performance expectations are clear and feedback is provided regularly relative to performance.
- \_\_\_\_ 5. Recruits, develops and retains high performing employees; deals promptly and appropriately with performance and conduct problems.
- \_\_\_\_ 6.
- \_\_\_\_ 7.
- \_\_\_\_ 8.

Page 3 - EDPAS Rating of Record for Supervisors

Justification: (Discuss Tangible Accomplishments that support ratings for the standards and elements - continuation sheets may be attached)

[ ] Rating of Record:

[ ] Interim Rating:

\_\_\_\_\_

Supervisor's Signature		Date	
Approving Official's Signature		Date	
Employee's Signature		Date	
Employee wishes to respond	Yes	No	

Employee response may be attached to rating of record